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08/29/01  
J1046 U.S. PTO  
09/941877

Practitioner's Docket No. RPS920010122US1  
Customer No.: 25299

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

J1046 U.S. PTO  
09/941877  
08/29/01

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Robert T. Cato; Phuc Ky Do; Eugene Michael Maximilien;

For (title): METHOD AND SYSTEM FOR AUTOMATIC BROKERED TRANSACTIONS

1. Type of Application

This transmittal is for an original (nonprovisional) application.

CERTIFICATION UNDER 37 C.F.R. SECTIONS 1.8(a) AND 1.10\*

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. Section 1.8(a)

37 C.F.R. Section 1.10\*

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Address"  
Mailing Label No. EL 888549777 US  
(mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office (703) \_\_\_\_\_

Date: 8-29-01

Signature

Amirah Scarborough

(type or print name of person certifying)

RPS920010122US1

Page 1 of 4

**2. Papers Enclosed**

**A.** Required for filing date under 37 C.F.R. 1.53(b) (Regular) or 37 C.F.R. 1.153 (Design) Application

14 Page(s) of Specification

18 Page(s) of Claims

5 Sheet(s) of Drawing(s)--Formal

**B.** Other Papers Enclosed

2 Page(s) of declaration and power of attorney

1 Page(s) of abstract

**3. Additional Papers Enclosed**

Information Disclosure Statement (37 C.F.R. 1.98)

Form PTO-1449 (PTO/SB/08A and 08B)

**4. Assignment**

An assignment of the invention to **International Business Machines Corporation; Armonk, NY** is attached. A separate "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" is also attached.

**5. Fee Calculation (37 C.F.R. Section 1.16)**

Regular Application

**CLAIMS AS FILED**

Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 CFR 1.16(a) \$710.00
<b>Total Claims</b>	<b>54</b>	<b>20</b>	<b>34</b>	<b>\$18.00</b>	<b>\$612.00</b>
<b>Independent Claims</b>	<b>5</b>	<b>3</b>	<b>2</b>	<b>\$80.00</b>	<b>\$160.00</b>
<b>Multiple Dependent Claims</b>					<b>\$0.00</b>
<b>Filing Fee Calculation</b>					<b>\$1,482.00</b>

**6. Fee Payment Being Made at This Time**

Enclosed

Filing Fee \$1,482.00

Recording assignment (\$40; 37 C.F.R. Section 1.21(h)) (See attached "COVER SHEET FOR ASSIGNMENT ACCOMPANYING NEW APPLICATION".) \$40.00

**Total Fees Enclosed \$1,522.00**

**7. Method of Payment of Fees**

Charge Account No. 09-1990 in the amount of \$1,522.00.

A duplicate of this transmittal is attached.

**8. Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 09-1990.

37 C.F.R. Section 1.16(a), (f) or (g) (filing fees)

37 C.F.R. Section 1.16(b), (c) or (d) (presentation of extra claims)

**9. Instructions as to Overpayment**

Credit Account No. 09-1990.

Date:

8/29



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